



Attorney Docket No.: 40-001320US  
Client Reference No.: 01-001320US

### DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **NANOSTRUCTURE AND NANOCOMPOSITE BASED COMPOSITIONS AND PHOTOVOLTAIC DEVICES** the specification of which was filed on September 4, 2003 as Application No. 10/656,802.

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

#### Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

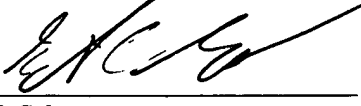



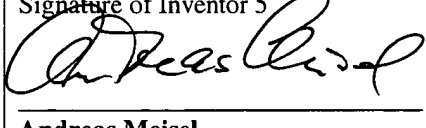
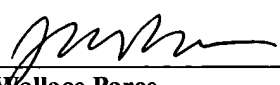
Application No.	Filing Date
60/408,722	September 5, 2002
60/421,353	October 25, 2002
60/452,038	March 4, 2003

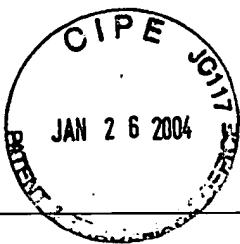
I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status

Full Name of Inventor 1:	Full Name: <b>Erik Scher</b>		
Residence & Citizenship:	City: <b>San Francisco</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>US</b>
Post Office Address:	Post Office Address: <b>1040A Guerrero Street, San Francisco, California 94110</b>		
Full Name of Inventor 2:	Full Name: <b>Mihai A. Buretea</b>		
Residence & Citizenship:	City: <b>San Francisco</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>US</b>
Post Office Address:	Post Office Address: <b>1386 31st Avenue, San Francisco, California 94122</b>		
Full Name of Inventor 3:	Full Name: <b>Calvin Chow</b>		
Residence & Citizenship:	City: <b>San Francisco</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>US</b>
Post Office Address:	Post Office Address: <b>455 Minoca Road, Portola Valley, California 94028</b>		
Full Name of Inventor 4:	Full Name: <b>Stephen Empedocles</b>		
Residence & Citizenship:	City: <b>Mountain View</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>US</b>
Post Office Address:	Post Office Address: <b>2507 Mardell Way, Mountain View, California 94043</b>		
Full Name of Inventor 5:	Full Name: <b>Andreas Meisel</b>		
Residence & Citizenship:	City: <b>San Francisco</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>DE</b>
Post Office Address:	Post Office Address: <b>514 Castro Street, San Francisco, California 94114 USA</b>		
Full Name of Inventor 6:	Full Name: <b>J. Wallace Parce</b>		
Residence & Citizenship:	City: <b>Palo Alto</b>	State/Foreign Country: <b>California</b>	Country of Citizenship: <b>US</b>
Post Office Address:	Post Office Address: <b>754 Los Robles Avenue, Palo Alto, California 94306 USA</b>		

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Erik Scher Date 1/16/04	Signature of Inventor 2  Mihai A. Buretea 01-1 Date 01-16-04	Signature of Inventor 3  Calvin Chow Date 1-16-04
Signature of Inventor 4  Stephen Empedocles Date 1/16/04	Signature of Inventor 5  Andreas Meisel Date 01/16/04	Signature of Inventor 6  J. Wallace Parce Date 1/16/04



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant: Erik Scher, et al.

Application No.: 10/656,802

Filed: September 4, 2003

Entitled: **NANOSTRUCTURE AND NANOCOMPOSITE BASED COMPOSITIONS AND PHOTOVOLTAIC DEVICES**

NANOSYS, Inc.

, a

corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

1/16/04  
Date

Matthew Murphy  
Signature  
Matthew Murphy  
Typed or printed name  
V.P. Intellectual Prop.  
Title

Attorney Docket No.: 40-001320US  
Client Reference No.: 01-001320US

## JOINT

Title of Invention: NANOSTRUCTURE AND  
NANOCOMPOSITE BASED  
COMPOSITIONS AND  
PHOTOVOLTAIC DEVICES

Application No.: 10/656,802; and

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and which claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

**NOT FOR RECORDATION**

# COPY

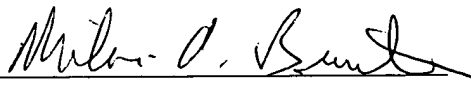
Assignment  
Application No.: 10/656,802  
Page 2

IN TESTIMONY WHEREOF, Assignors have signed his/her name on the date indicated.


Dated: 1/16/04

  
Erik Scher

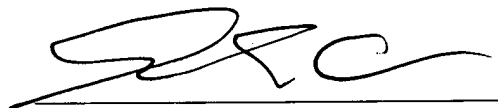
Dated: 01-16-04

  
Mihai A. Buretea

Dated: 1-16-04

  
Calvin Chow

Dated: 1/16/04

  
Stephen Empedocles

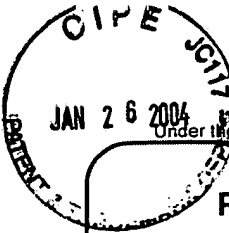
Dated: 01/16/04

  
Andreas Meisel

Dated: 1/16/04

  
J. Wallace Parce

NOT FOR RECORDATION

**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/656,802
Filing Date	September 4, 2003
First Named Inventor	Erik Scher
Title	Nanostructure And Nanocomposite Based
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	40-001320US

I hereby appoint:

☒ Practitioners associated with the Customer Number:

OR

☒ Practitioner(s) named below:**22798**

PATENT TRADEMARK OFFICE

Name	Registration Number
Matthew B. Murphy	39,787

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

--

OR

<input checked="" type="checkbox"/> Firm or Individual Name	Quine Intellectual Property Law Group, P.C.				
Address	P.O. Box 458				
Address					
City	Alameda	State	CA	Zip	94501
Country	United States				
Telephone	(510) 337-7871	Fax	(510) 337-7877		

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name	Matthew B. Murphy		
Signature			
Date	1/16/04	Telephone	650-331-2109

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or Printed Name	Juliana Hermes		
Signature		Date	January 23, 2004